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PTO/SB/021/08-00

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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/809,584
	Filing Date	March 15, 2001
	First Named Inventor	Mark ROSE
	Group Art Unit	2164
	Examiner Name	Not Known
	Attorney Docket Number	1991-00200
Total Number of Pages in This Submission		

### ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment <i>(for an application)</i> <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i> <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <i>Form PTO-1449 (1 p.); SIX (6) Cited References; and Acknowledgement Postcard</i>
<div>Remarks</div>		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

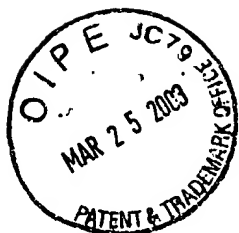
Firm Or Individual Name	DAN J. KRUEGER
Signature	
Date	MARCH 21, 2003

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: March 21, 2003.			
Typed or Printed Name	Carolyn Nivens		
Signature		Date	March 21, 2003

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Mark ROSE §  
SERIAL NO.: 09/809,584 §  
FILED: March 15, 2001 §  
FOR: Online Trading System Having §  
Ally-Initiated Trading §

GROUP ART UNIT:  
2164

EXAMINER:  
Not Known Yet

RECEIVED  
APR 02 2003  
GROUP 3600

INFORMATION DISCLOSURE STATEMENT

03/31/2003 MDANTE1 00000127 032769 09809584  
01 FC:1806 180.00 CH

Atty. Dkt. No.: 1991-00200  
Date: March 21, 2003

Commissioner for Patents  
Washington, D. C. 20231

Sir:

This Information Disclosure Statement, including completed Form PTO-1449, comprises a list of pertinent art of which Applicants are aware. A copy of each publication listed on Form PTO-1449 is enclosed herewith.

The submission of this Information Disclosure Statement and the references submitted therewith is not an admission that the art cited is "prior" with respect to the present invention, nor is it a representation, that no better art exists. Applicants hereby reserve the right to swear behind or otherwise disprove any alleged "prior" nature of any art cited should the facts support and the situation warrant such an action. It is submitted that the art cited does not constitute a bar to the patentability of Applicants' invention under 35 U.S.C. § 102 or § 103.

No Office Action on the merits has been received in the present application. Nonetheless, in the event that an Office Action dated prior to the mailing date of this Information Disclosure Statement has been issued, please charge Deposit Account 03-2769, Conley Rose,

P.C., in the amount of \$180, so that this Information Disclosure Statement may be considered under Rule 1.97(c).



Respectfully submitted,

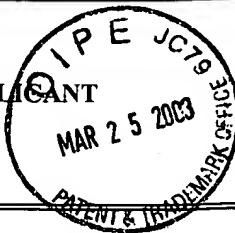
A handwritten signature in black ink, appearing to read "Dan J. Krueger", written over a horizontal line.

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~~ATTORNEY FOR APPLICANT~~  
*Agents*

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use several sheets if necessary)

Atty. Docket No.  
1991-00200Serial No.  
09/809,584Applicant  
Mark ROSEFiling Date  
March 2001Group  
2,664**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPLICABLE
	AA	5,873,071	02/16/1999	FERSTENBERG <i>et al.</i>	705	37	05/15/1999
	AB	6,408,282 B1	06/18/2002	BUIST	705	37	04/15/1999
	AC	US 2002/009161611A1	07/11/02	MINTON	705	37	07/29/1999
	AD	US 2002/0091615 A1	07/11/2002	SALVANI	705	37	01/09/2001
	AE	US 2001/0003179 A1	06/07/2001	MARTYN <i>et al.</i>	705	37	01/23/2001
	af	Us 2001/0044771 a1	11/22/2001	USHER <i>et al.</i>	705	37	05/16/2001

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							YES	NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.